



## **2002 Compliance and Technical Assistance Program Annual Report**

The Compliance and Technical Assistance Program (CTAP) is Indiana's Small Business Assistance Program (SBAP), operating under Section 507 of the Federal Clean Air Act, U.S. Code 7611f, and Indiana Code (IC) 13-28-5-4. The CTAP is statutorily authorized to operate under IC 13-28-1 (Office of Voluntary Compliance) and IC 13-28-3 (SBAP). Under these statutes, the CTAP is required to have a small business ombudsman and develop a clearinghouse of environmental resources.



CTAP provides confidential, environmental assistance to Indiana businesses who request such services and proactively works with other programs within the Indiana Department of Environmental Management (IDEM), governmental entities, and regulated entities, to provide regulatory and technical outreach and assistance. Outreach efforts include conducting educational workshops, performing confidential site visits, providing confidential phone assistance, and developing recognition programs, compliance assistance manuals, and fact sheets. In order to effectively provide the type of assistance needed by the regulated community, strict confidentiality is maintained.

Over the next two years, CTAP will focus assistance on industry sectors impacted by new storm water regulations and new National Emission Standards for Hazardous Air Pollutants (NESHAP) standards, while reviewing sectors where assistance has already been provided. The compliance activities associated with any new sectors will be included in the 2003-2005 Environmental Performance Partnership Agreement with the U.S. Environmental Protection Agency (EPA), which is currently under development for implementation beginning July 1, 2003.

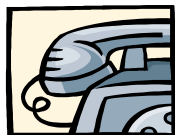
A new project for Fiscal Years 2004 and 2005 will include the development of a Small Business Environmental Guide. This easy-to-read guidebook will provide Indiana small businesses with information to enable them to quickly determine if their business is subject to a regulation and direct them to additional resources. The guidebook will cover many topics including but not limited to regulations from the three media (air, land and water), pollution prevention planning, safety and health, financial assistance and emergency planning.

In order to provide the best possible service and to expand focused efforts, we continue to evaluate available resources and the utilization of these resources to meet our current program and service needs. As part of this constant evaluation, concentrated assistance efforts for the printing industry and childcare sector will be scaled back. Depending on future resources available to CTAP, other assistance efforts may also be reduced. CTAP staff will continue to provide phone and on-site assistance to all sectors. Current 5-Star Recognition Programs will also be evaluated for continuation or elimination. CTAP will continue to examine and modify its compliance assistance efforts based on new regulations, U.S. EPA suggestion, Hoosier business sector interest, and availability of resources.

The following sections provide information on the number and type of contacts as well as give an indication of the growth of the program. They also demonstrate the ability of IDEM to analyze the data now being collected for trends and planning purposes to ensure a proactive approach to assisting Indiana's regulated entities.

### **CTAP Small Business Assistance Contacts**

The table and graph below show significant progress in reaching and assisting Indiana units of government, businesses and citizens. Since 1996, assistance efforts (contacts made) have increased every year except 2002, when the State's fiscal situation negatively impacted the CTAP. For 2002, the upward trend of total contacts made ended as a 17 percent decrease from the year 2001 was realized. A dramatic decrease in the number of inactive contacts (i.e. publications and mailings) was the reason for the decrease. Despite the overall decrease, the number of active contacts, including phone calls, site visits and "hits" to the CTAP home page ([www.IN.gov/idem/ctap/](http://www.IN.gov/idem/ctap/)) all increased, by four, 75, and 26 percent, respectively.



**Telephone Contacts**  
↑ 4%



**On-site Assistance**  
↑ 75%



**Web site hits**  
↑ 26%

Budget cuts and the number of staff vacancies in the Office of Pollution Prevention and Technical Assistance (OPPTA) impacted CTAP outreach efforts. However, CTAP continues to work with the Indiana Department of Commerce on a controlled release of the CTAP brochure. In addition to this collaborative relationship, CTAP is working with the Department of Labor's Bureau of Safety Education and Training (BuSET). BuSET is distributing CTAP's brochures and vice versa.

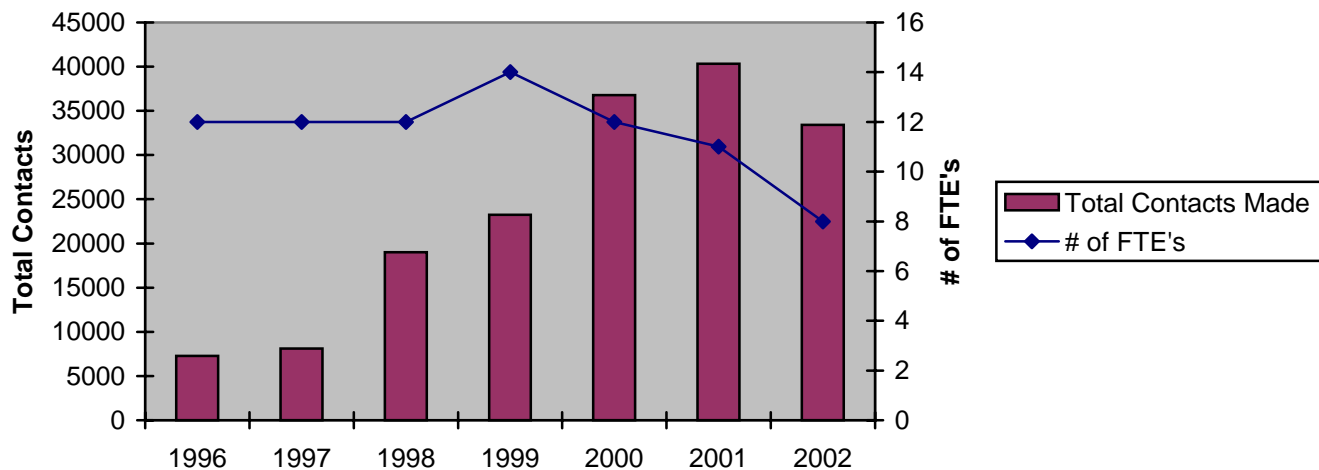
**TABLE 1: 7 Year History of OPPTA Small Business Assistance Contacts**

<b>Contact Type</b>	<b>1996</b>	<b>1997</b>	<b>1998</b>	<b>1999</b>	<b>2000</b>	<b>2001</b>	<b>2002</b>
Phone Assistance	2,254	3,200	2,770	2,785	2,972	2,990	3,122
On-site Visits	411	138	155	245	296	521	913
Seminars/Workshops	80	565	764	1,491	2,485	2,956	2,002
Publications *	2,133	3,364	6,724	4,290	10,985	12,500	8,000
Home Page Hits	1,318	600	1,574	3,691	6,313	8,365	10,566
Teleconferences	0	0	67	0	0	0	0
Mailings	1,050	225	6,935	10,730	13,908	13,000	8,800
<b>Total Contacts Made</b>	<b>7,246</b>	<b>8,092</b>	<b>18,989</b>	<b>23,232</b>	<b>36,758</b>	<b>40,332</b>	<b>33,403</b>
<b>Full Time Equivalents (FTE's)</b>	<b>12</b>	<b>12</b>	<b>12</b>	<b>14</b>	<b>12</b>	<b>11</b>	<b>8</b>

\*Includes guidance manuals, fact sheets, brochures and annual reports.

The shaded columns show the contacts made after implementing the CTAP database, which actively tracks contacts electronically.

### 6 Year History of CTAP Assistance Efforts vs. Number of Full-Time Employees (FTE's)

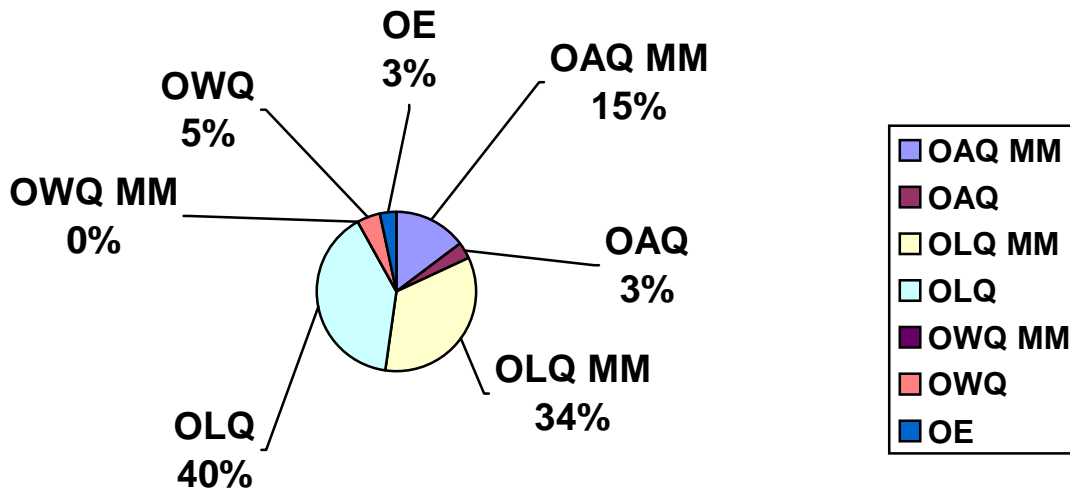


The graph above shows that a decrease in the number of Full Time Equivalents (FTE's) has occurred since 1999. Despite this decrease, services provided by CTAP staff have actually increased through continuous review of processes and programs for efficiencies.

On the following pages, we have provided data to enable interested parties to understand the specifics of who is using the CTAP programs and answer the following questions:

1. Which IDEM programs are facilitating referrals to OPPTA? (Figure 1);
2. Who is using CTAP? (Figure 2);
3. Which counties are being assisted most? (Figure 3);
4. What is the breakdown on contact type? (Figure 4); and,
5. Which business sectors attend OPPTA workshops the most? (Figure 5).

**Figure1: 2002 Types of CTAP Referrals**



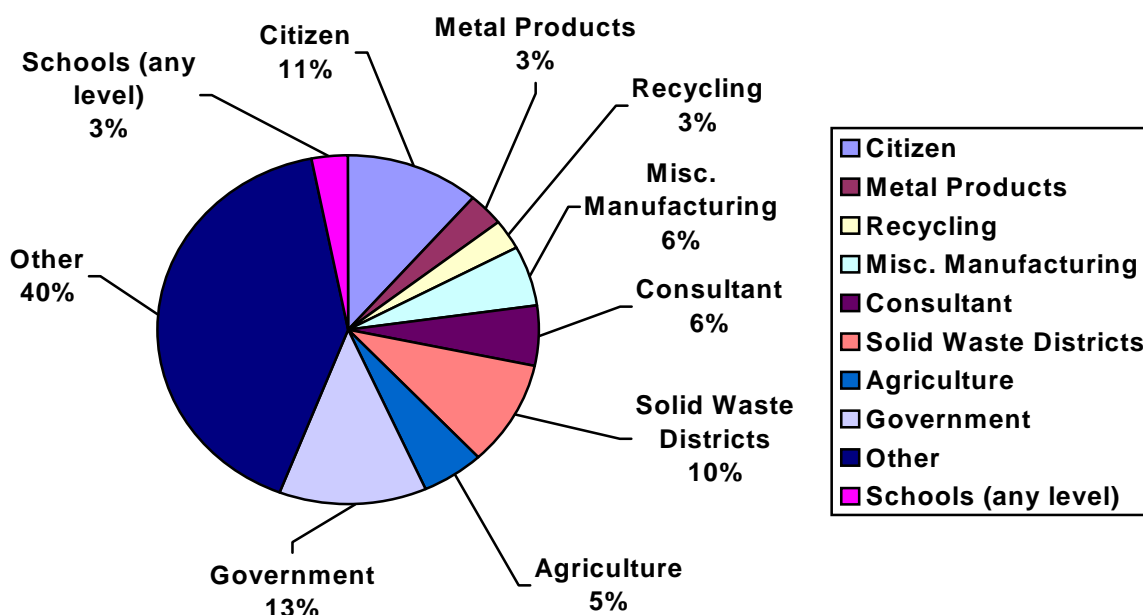
#### **Types of IDEM Referrals:**

The OPPTA, each of IDEM's media offices (air, land, and water), and the Office of Enforcement (OE), worked together to develop a process to promote the services of OPPTA and CTAP. IDEM inspection forms, both single media and multimedia (MM), for each of the different offices include a box for the business to check if they would like to be contacted by an OPPTA representative. The OE also refers businesses to OPPTA if appropriate, for development of Supplemental Environmental Projects involving Pollution Prevention.

Based on the data collected for 2002 (see Figure 1 above), the majority, 74 percent (single media and multimedia), of IDEM referrals came from the Office of Land Quality (OLQ). The Office of Air Quality (OAQ) accounted for approximately 18 percent of referrals to CTAP. Finally, the Office of Water Quality (OWQ) and OE accounted for five and three percent of CTAP referrals, respectively. The percentages are based on 88 total referrals. These figures do not include referrals by the OWQ to their Operator and Technical assistance program (OATS) or reflect any assistance provided by the Circuit Rider program supported by IDEM or by the Indiana Association of Cities and Towns.

After receiving a referral, CTAP staff contact the entity to offer assistance. Of the 85 referrals, 12 (14%) entities were provided site visits and 56 (66%) of the entities were assisted either at that time or later in the year.

**Figure 2: Top Users of CTAP**

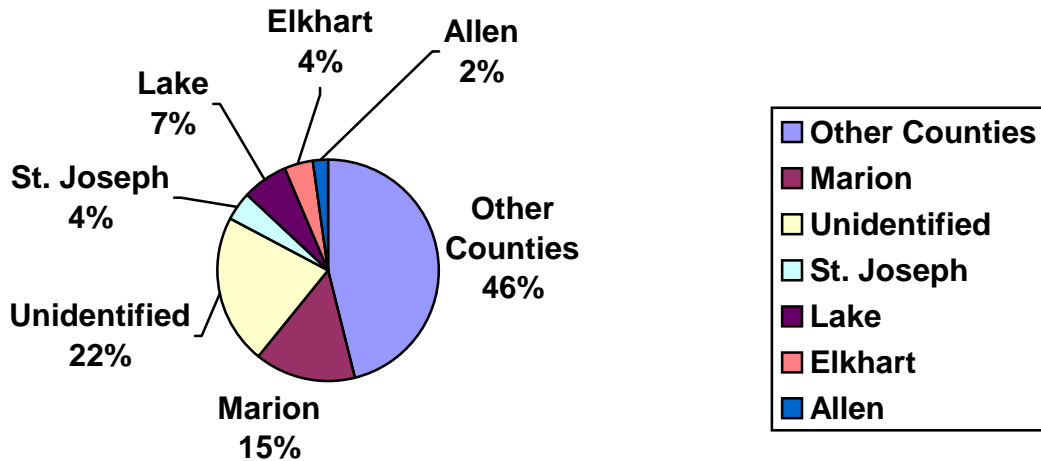


**Top 10 Users of CTAP Services:**

CTAP provides assistance to many types of regulated entities and citizens. With CTAP's tracking system, we can easily determine things such as which specific sectors are requesting assistance and what information is being requested. Figure 2 above shows a breakdown of the top 10 users of CTAP services for 2002. Governmental entities (any level) led the list with over 13 percent of total assistance efforts. Citizens, solid waste management districts, miscellaneous manufacturing entities, and consultants accounted for 11, 10, six, and six percent, respectively.

In 2001, we calculated that the top two users of CTAP services were citizens and schools, which led to a refocused marketing effort for 2002. As mentioned previously, CTAP is marketing its services more directly to small businesses. This change in marketing strategy proved effective as 57 percent (compared to 46 percent for 2001) of CTAP users in 2002 were businesses.

**Figure 3: Assistance Efforts Based on County  
(Total Assistance = 7097)**

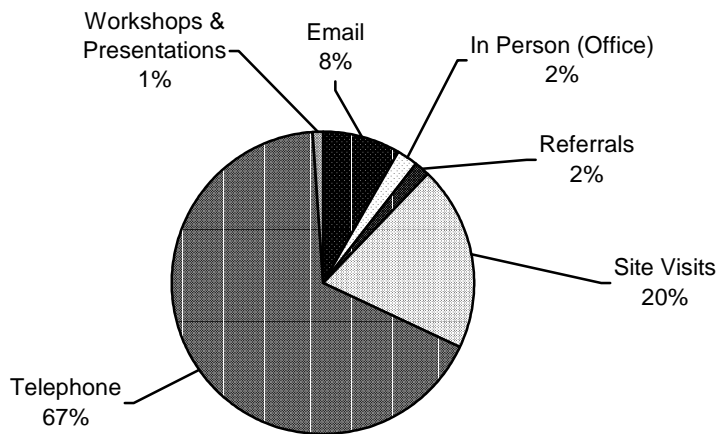


#### **Assistance Efforts Based on County:**

Figure 3 shows the top five counties in Indiana that received compliance and technical assistance from OPPTA. CTAP efforts were well distributed throughout the state as shown by the “Other County” category, which includes 87 counties and accounted for 46 percent of the total. Next was the “Unidentified” category with 22 percent and Marion County with 15 percent. Even though CTAP provides confidential assistance, some businesses still choose to not provide CTAP with the county in which they are located or any other location information. Therefore, the data collection system allows CTAP staff to enter “Unidentified”, to accommodate entities that do not wish to disclose their location. The remainder of the top five individual counties included Lake (7%); Elkhart (4%); St. Joseph (4%); and Allen (2%).

Although the top five counties did not change from 2001, the percentage of “Other” counties increased from 45 percent to 46 percent. This increase can be attributed in part to CTAP’s efforts to market to all Indiana counties. CTAP’s goal is to continue to increase the “Other County” percentage over the next two years, through targeted marketing strategies working with specific local chambers of commerce and local economic development offices.

**Figure 4: Assistance Efforts by Contact Type (Total Efforts = 4657)**

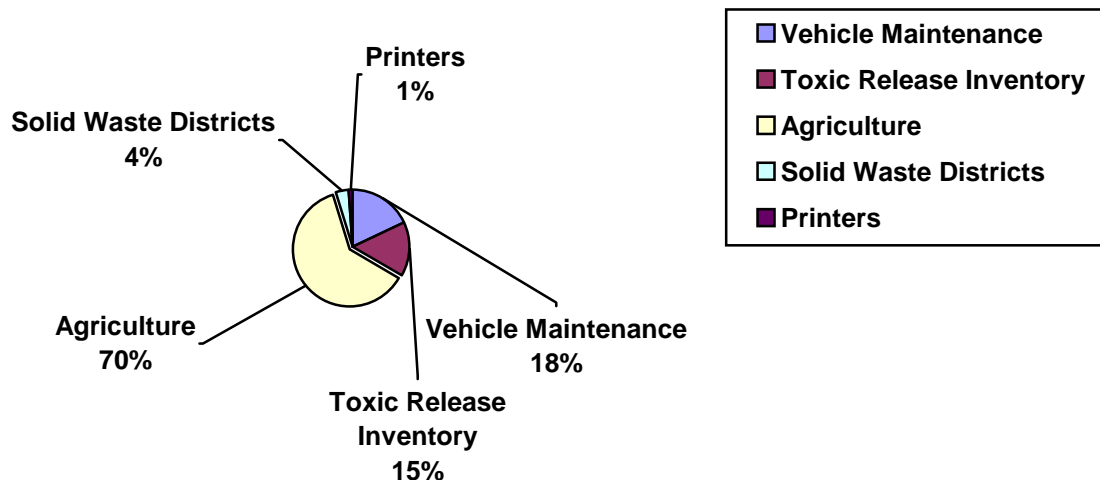


#### **Assistance Efforts Based on Contact Type:**

The CTAP tracking system documents assistance efforts based on the manner in which customers are assisted. Categories include telephone assistance; workshops and presentations; e-mail assistance (includes written correspondence and fax assistance); in-person (office) assistance; IDEM referrals; and on-site visits. Percentages are based on 4,657 total assistance efforts recorded in 2002.

According to Figure 4 above, a majority (67%) of our assistance efforts was provided via telephone, followed by site visits (20%), e-mail (8%), referrals and in person (each with 2%), and workshops and presentations (1%). CTAP made a concerted effort to offer more on-site assistance to Indiana businesses in 2002. Accordingly, compared to 2001, the percentage of telephone assistance decreased by five percent while the percentage of site visits increased by five percent.

**Figure 5: Workshop Attendees by Business Type**



**Workshop Attendees by Business Type:**

One of the tools OPPTA uses to assist Indiana businesses in complying with environmental regulations is workshops. Throughout 2002, CTAP offered 22 workshops to 555 Indiana entities. Figure 5 above illustrates a break down of the percentage of attendees by sector.

- ◆ Two Toxic Release Inventory (TRI) workshops were held in 2002, with a total of 85 people attending, accounting for 15 percent of total workshop attendees. Common reporting errors and the need to ensure data quality were reasons these workshops were needed. IDEM and the U.S. EPA use the TRI data to measure trends in toxic releases.
- ◆ Twelve Agriculture workshops were held across the state with 344 people attending, which accounted for over 70 percent of the total. The agency's Agricultural Liaison provided the workshops. The purpose of the workshops was to share information on the new Confined Animal Feeding Operations (CAFO) rule.
- ◆ Six Vehicle Maintenance and Collision Repair workshops were held across the state with 100 people attending, accounting for 18 percent of the total. Included in the workshops was a review of the revised Vehicle Maintenance manual and the new Collision Repair manual.
- ◆ One Solid Waste Management District workshop was held in Monroe County with 20 people in attendance. The workshop involved 24-hour training for household hazardous waste program managers.
- ◆ Finally, six people attended one Printing sector workshop. Attendees were given an overview of environmental, health, and safety regulations impacting the Printing industry.

In summary, despite limited resources in staff and funding, the CTAP continued to expand its services. Since 1999, the number of Full Time Equivalents devoted to CTAP services has decreased from a high of 14 to its current level of 8. Despite these decreases, the number of on-site visits, phone assistance and web hits increased 75%, 4% and 26% from 2001, respectively. In the future, the CTAP and the SBAP will continue to look for ways to increase efficiency and effectiveness. Anyone with ideas on how these improvements may be achieved is encouraged to contact Marc Hancock, the CTAP's Branch Chief, at 1-800-988-7901, or by e-mail at [mhancock@dem.state.in.us](mailto:mhancock@dem.state.in.us).